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[www.CaliforniaVolunteers.org](http://www.CaliforniaVolunteers.org)

# 2018 AmeriCorps State Formula Funding Opportunity



## MANDATORY SUPPLEMENTAL GUIDANCE

### Applications due May 2, 2018

**IMPORTANT NOTICE TO APPLICANTS:** The following documents are necessary to complete a 2018-19 operating grant application for AmeriCorps funding. All can be found on the CaliforniaVolunteers website, [www.californiavolunteers.org/index.php/Grants/ameri-corps/](http://www.californiavolunteers.org/index.php/Grants/ameri-corps/).

- (1) 2018 AmeriCorps State Formula Funding Opportunity Request for Applications (RFA)
- (2) 2018 AmeriCorps State Formula Funding Opportunity Mandatory Supplemental Guidance
- (3) 2018 AmeriCorps State Formula Funding Opportunity Application Instructions
- (4) 2018 AmeriCorps State Grant Application Forms
- (5) 2018 CNCS Performance Measures Instructions

**NOTE ON ELIGIBILITY:** If you submitted an application in response to the earlier 2018 AmeriCorps State Funding Opportunity, you are not eligible to apply for funding for the same program under this Request for Applications. Please email [funding@cv.ca.gov](mailto:funding@cv.ca.gov) if you have any questions about your eligibility.

**NOTE FOR CONTINUATION PROGRAMS:** If you are currently funded by CaliforniaVolunteers (CV) and need to apply for year two or three of continuation funding, this RFA does not apply to you. Instructions will be e-mailed directly to you by CV.

*The 2018 AmeriCorps State Formula Funding Opportunity Mandatory Supplemental Guidance is intended to provide applicants with additional information for the preparation of their applications under the 2018 AmeriCorps State Formula Funding Opportunity Grant Request for Applications (RFA). The Supplemental Guidance provides both detailed definitions of certain terms included but may have not been defined in the RFA. This Supplemental Guidance is incorporated by reference in the RFA, and applicants must comply with any requirements stated in this Supplemental Guidance.*

**Enrollment Rate:** Enrollment rate is calculated as slots filled, plus refill slots filled, divided by slots awarded.

**Evidence based program:** Evidence-based programs have been rigorously evaluated and have demonstrated positive results for at least one key desired outcome. Rigorous evaluation means at least one randomized controlled trial study or quasi-experimental evaluation, either of the program itself or of another program that the applicant is proposing to replicate.

**Evidence informed program:** Programs in this category use the best available knowledge, research, and evaluation to guide program design and implementation, but do not have scientific research or rigorous evaluation of the program itself and are not replicating an evidence-based program.

### **Evidence Tiers**

**No evidence** means the applicant has not provided evidence that they have systematically collected any qualitative or quantitative data on their own program to date.

Applicants in this tier must describe how their program design is evidence-informed. An evidence-informed program uses the best available knowledge, research and evaluation to guide program design and implementation, but does not have scientific research or rigorous evaluation of the program itself. Applicants may describe up to two research or evaluation studies of similar programs that inform their program design but may not submit these studies.

**Pre-preliminary evidence** means the applicant has demonstrated data collection experience testing or tracking at least one aspect of its logic model. For example, the applicant has collected systematic and accurate data on one or more of the following: the community problem the proposed intervention will address, the program intervention's activities and services delivered, participation in the intervention by the target population, and/or participant outcomes (e.g., performance measurement data or a process evaluation assessing implementation of the intervention.)

In order to qualify for this tier, the applicant must have collected data about their own program. The data collection process, methods and results must be described fully and the applicant should explain the link between data collection and the relevant component(s) of its logic model. Applicants that do not fully describe the data collection process, methods and results in the application narrative may be assessed as having no evidence. Applicants should describe evidence for the pre-preliminary tier in the Evidence section of the application but should not submit additional documents unless required to meet CNCS evaluation requirements. Evaluations submitted to comply with CNCS evaluation requirements will be reviewed only for compliance with evaluation requirements and will not be considered when assessing this evidence tier. Evaluations submitted by applicants who were not required to submit evaluations will not be reviewed.

**Preliminary evidence** means the applicant has provided data from at least one outcome study of their own intervention that yielded promising results for the proposed intervention or that the applicant proposes to replicate a similar evidence-based intervention with fidelity to the evaluated program model. The ways to demonstrate preliminary level of evidence are as follows:



**Preliminary with Outcome Study** The applicant must describe at least one outcome study that was conducted of their own intervention. This must include a detailed description of the outcome study data from pre and post-tests without a comparison group or post-test comparison between intervention and comparison groups. In some cases a retrospective pre-post test may be considered, but its use must be justified in the application narrative. The applicant must explain whether the outcome study was conducted internally by the applicant organization or by an entity external to the applicant. Applicants must describe the studies fully but should not submit them unless required to meet CNCS evaluation requirements. Outcome evaluations that are submitted to fulfill the CNCS evaluation requirements will be reviewed for compliance with evaluation requirements and will not be considered when assessing this evidence tier. Outcome evaluations submitted by applicants who were not required to meet CNCS evaluation requirements will not be reviewed.

In addition to describing up to two outcome studies of their own program or intervention, applicants must fully describe the performance measurement data they have collected and how the outcome study data goes beyond performance measurement.

#### **Preliminary with Replication**

- The applicant must describe and submit at least one randomized controlled trial study or quasi-experimental evaluation (an evaluation using a statistically valid, matched comparison group) that found positive results for the same intervention that the applicant plans to replicate. The applicant must describe how the intervention studied and the applicant's proposed approach are the same and how the applicant will replicate the intervention with fidelity to the program model. The study must have been conducted by an entity external to the organization whose program was studied. If applicable, applicants may also describe evidence from a process evaluation demonstrating that they have implemented the replication with fidelity. The process evaluation should be described but not submitted.
- Applicants who do not submit the required study or who do not describe fully how they will replicate the evidence-based program with fidelity will be considered for a lower tier.

For the purposes of this *Notice*, "replicate" means that the key elements of the applicant's intervention are implemented as the evidence-based program model describes (e.g., in terms of content or curriculum, delivery process, and target population), and the applicant's adaptations are relatively minor. For example, an applicant implementing an intervention using certified teachers to administer the curriculum would not be considered replicating that program with fidelity if it replaces teachers with AmeriCorps members who are not certified teachers, because the documented success of the intervention relied on the specialization of certified teachers.

Applicants proposing to replicate an evidence-based program with fidelity must describe how their program is the same as, or very similar to, the program they will replicate in the following areas:

- Characteristics of the beneficiary population
- Characteristics of the population delivering the intervention
- Dosage (frequency, duration) and design of the intervention
- Training for the AmeriCorps members and/or other individuals, such as volunteers, delivering the intervention
- The context in which the intervention is delivered
- Outcomes of the intervention

Applicants must also describe how they will assess whether they are implementing the intervention with fidelity to the intervention they are replicating.

Applicants must be clear about whether the sites proposed in the application overlap with the sites included in an evaluation that would qualify them for the moderate or strong evidence tier. In cases where the applicant is part of a multi-site or multi-grant program (for example, a national program operating in multiple states) that has conducted an evaluation that would qualify them for the moderate or strong



evidence tier, but the evaluation did not include the applicant's proposed sites, the applicant must describe how they are replicating the evidence-based program with fidelity at one of the sites included in the application. In this case, an application for sites included in the evaluation would receive moderate or strong evidence, and an application for the sites not included in the evaluation would receive preliminary evidence.

**Moderate evidence** means the applicant has submitted up to two well-designed and well-implemented studies of their own program that evaluated the same intervention described in this application and identified evidence of effectiveness on one or more key desired outcomes of interest as depicted in the applicant's logic model. Evidence of effectiveness (or positive findings) is determined using experimental design evaluations (i.e., Randomized Controlled Trials (RCT)) or Quasi-Experimental Design evaluations (QED) with statistically matched comparison (i.e., counterfactual) and treatment groups. The ability to generalize the findings from the RCT or QED beyond the study context may be limited (e.g., single-site). The studies were conducted by an independent entity external to the organization implementing the intervention.

Applicants classifying their evidence as **Moderate** must submit up to two evaluation reports from external entities or evaluations published in peer-reviewed articles as separate attachments.

CNCS grantees recompeting for their third competitive grant cycle are required to submit an evaluation report of their CNCS funded program. The CNCS-required evaluation report may count towards one of the two studies required for the Moderate evidence tier or may be submitted in addition to this. In the latter case, all three studies will be considered against the review criteria.

If the applicant is not required to submit an evaluation report of their CNCS funded program, then more than two studies will not be considered.

Applicants must be clear about whether the sites proposed in the application overlap with the sites included in an evaluation that would qualify them for the moderate or strong evidence tier. In cases where the applicant is part of a multi-site or multi-grant program (for example, a national program operating in multiple states) that has conducted an evaluation that would qualify them for the moderate or strong evidence tier, but the evaluation did not include the applicant's proposed sites, the applicant must describe how they are replicating the evidence-based program with fidelity at one of the sites included in the application. In this case, an application for sites included in the evaluation would receive moderate or strong evidence, and an application for the sites not included in the evaluation would receive preliminary evidence.

**Strong evidence** means the applicant has demonstrated that the intervention described in the application has been tested nationally, regionally, or at the state-level (e.g., multi-site) using a well-designed and well-implemented QED or RCT of their own program. Alternatively, the proposed intervention's evidence may be based on multiple (up to two) well-designed and well-implemented QEDs or RCTs of their own program in different locations or with different populations within a local geographic area. The overall pattern of study findings is consistently positive on the key desired outcomes of interest as depicted in the applicant's logic model. Findings from the RCT or QED studies may be generalized beyond the study context. The studies were conducted by an independent entity external to the organization implementing the intervention.

Applicants classifying their evidence as **Strong** must submit up to two evaluation reports from external entities or evaluations published in peer-reviewed articles as separate attachments.

CNCS grantees recompeting for their third competitive grant cycle are required to submit an evaluation report of their CNCS funded program. The CNCS-required evaluation report may count towards one of the two studies required for the Strong evidence tier or may be submitted in addition to this. In the latter case, all three studies will be considered against the review criteria.



If the applicant is not required to submit an evaluation report of their CNCS funded program, then more than two studies will not be considered.

Applicants must be clear about whether the sites proposed in the application overlap with the sites included in an evaluation that would qualify them for the moderate or strong evidence tier. In cases where the applicant is part of a multi-site or multi-grant program (for example, a national program operating in multiple states) that has conducted an evaluation that would qualify them for the moderate or strong evidence tier, but the evaluation did not include the applicant's proposed sites, the applicant must describe how they are replicating the evidence-based program with fidelity at one of the sites included in the application. In this case, an application for sites included in the evaluation would receive moderate or strong evidence, and an application for the sites not included in the evaluation would receive preliminary evidence.

**Learning Memo:** Any applicant required to submit an evaluation report in order to comply with CV evaluation requirements must also submit a learning memo that describes how they are using the evaluation to improve and to inform their activities in the next funding cycle. The learning memo must be in a 12-point font or larger and should not exceed three pages of double-spaced text. The learning memo should include:

- A short summary of key learnings from the evaluation
- An explanation of how the program will incorporate key learnings into its strategy, design or implementation
- An explanation of how these changes will improve the program
- A discussion of how learning from the evaluation may inform next steps in the program's long-term research agenda

**Member Placement Site or Service Location:** A member service location is the site at which an AmeriCorps member is placed to provide his/her service to the community.

**Member Service Year (MSY):** One Member Service Year (MSY) is equivalent to a full-time AmeriCorps position (at least 1,700 service hours.)

**Opportunity Youth:** Opportunity youth are economically disadvantaged individuals ages 16-24 who are disconnected from school or work for at least six months prior to service. CNCS defines "economically disadvantaged" consistent with the definition used in the member development performance measures, "Receiving or meet the income eligibility requirements to receive: Temporary Aid to Needy Families (TANF), Food Stamps (SNAP), Medicaid, SCHIP, Section 8 housing assistance." CNCS defines "disconnected from school or work" as unemployed, underemployed, and not in school for at least six months prior to their term of national service. A member who was not economically disadvantaged prior to becoming an AmeriCorps member, but became economically disadvantaged because the living allowance was low enough to make them eligible for SNAP, etc., cannot be counted as economically disadvantaged. In order to apply under this priority the applicant must demonstrate the programmatic elements they will implement in order to recruit and support opportunity youth as members and/or program beneficiaries. A substantial portion of their requested MSYs must consist of or be devoted to serving opportunity youth.

**Other Revenue:** Funds necessary to operate an AmeriCorps program that are not CNCS funds or grantee share (match) identified in the budget. Total operating budget for an organization is not considered other revenue unless the entire operating budget supports the AmeriCorps program. Programs that have additional revenue sources not included in the matching funds section of the budget should provide the amount of this additional revenue that supports the program. This amount should not include the CNCS or grantee share amounts in the budget. For fixed amount grantees all non-CNCS funds that support the program are considered other revenue.



**Prohibited Activities:** While charging time to the AmeriCorps program, accumulating service or training hours, or otherwise performing activities supported by the AmeriCorps program or CV/CNCS, staff and members may not engage in the following activities (see 45 CFR § 2520.65):

1. Attempting to influence legislation;
2. Organizing or engaging in protests, petitions, boycotts, or strikes;
3. Assisting, promoting, or deterring union organizing;
4. Impairing existing contracts for services or collective bargaining agreements;
5. Engaging in partisan political activities, or other activities designed to influence the outcome of an election to any public office;
6. Participating in, or endorsing, events or activities that are likely to include advocacy for or against political parties, political platforms, political candidates, proposed legislation, or elected officials;
7. Engaging in religious instruction, conducting worship services, providing instruction as part of a program that includes mandatory religious instruction or worship, constructing or operating facilities devoted to religious instruction or worship, maintaining facilities primarily or inherently devoted to religious instruction or worship, or engaging in any form of religious proselytization;
8. Providing a direct benefit to— a. a business organized for profit; b. a labor union; c. a partisan political organization; d. a nonprofit organization that fails to comply with the restrictions contained in section 501(c)(3) of the Internal Revenue Code of 1986 related to engaging in political activities or substantial amount of lobbying except that nothing in these provisions shall be construed to prevent participants from engaging in advocacy activities undertaken at their own initiative; and e. an organization engaged in the religious activities described in paragraph C. 7. above, unless CNCS assistance is not used to support those religious activities;
9. Conducting a voter registration drive or using CNCS funds to conduct a voter registration drive;
10. Providing abortion services or referrals for receipt of such services; and
11. Such other activities as CNCS may prohibit.

AmeriCorps members may not engage in the above activities directly or indirectly by recruiting, training, or managing others for the primary purpose of engaging in one of the activities listed above. Individuals may exercise their rights as private citizens and may participate in the activities listed above on their initiative, on non-AmeriCorps time, and using non-CNCS funds.

**Reducing and/or Preventing Prescription Drug and Opioid Abuse:** Program models that seek to address the prescription drug and opioid abuse crisis in America.

**Retention Rate:** Retention rate is calculated as the number of members exited with education award (full or partial award) divided by the number of members enrolled.

**Rural Communities:** CNCS uses rural-urban commuting area (RUCA) codes to classify program addresses as either rural or urban for analytic purposes. RUCA codes classify U.S. census tracts using measures of population density, urbanization, and daily commuting. Census tracts with an urban cluster population less than 50,000 are considered rural (RUCA codes 4 – 10). Applicants are encouraged to designate themselves as serving rural communities if some or all service locations are in rural areas as defined by RUCA codes or if the program can provide other compelling evidence that the program is rural in the narrative portion of the application. This self-designation will be considered in grant-making decisions.

For more information about RUCA codes, please visit the USDA website found here:  
<http://www.ers.usda.gov/data-products/rural-urban-commuting-area-codes.aspx>





The Office of Grants Management uses Beale Codes when assessing alternative match requirements as the statute (45 CFR 2521.60(c)) requires it.

**Rural Intermediaries:** CV recognizes that severely under-resourced communities may have limited capacity to successfully apply for and implement an AmeriCorps program, due to the size and organizational capacity of eligible applicant/host site organizations or the lack of available matching funds in these communities. Thus it may be effective for a single eligible applicant (intermediary) to develop an application and oversee the implementation of an AmeriCorps program that engages multiple grassroots non-profits/eligible applicants (referred to as a consortium) that, individually, do not have the necessary organizational or fundraising capacity to apply for and run an AmeriCorps program. Given the desire to address community needs holistically, the nonprofits/eligible applicants that make up the consortium may have, but are not required to have, different focus areas (including the non-focus area capacity building) and thus the non-profit/eligible applicant intermediary will be multi-focused.

Applicants seeking consideration under this priority must demonstrate that they will be serving in rural severely under-resourced communities; that their application represents a consortium, that the activities provided by the consortium collectively address a compelling community need or set of needs; and that they have sufficient financial and management capacity to act as an umbrella organization for the consortium. Applicants seeking consideration under this priority may submit a narrative that does not exceed 18 pages.

The eligible applicant (intermediary) should submit one application which describes:

- How the partnership/consortium will be organized and AmeriCorps resources will be allocated between the partnering entities (intermediary and consortium members).
- The proposed theory (ies) of change and program model(s).
- How the intermediary will utilize an identified consortium of nonprofits/eligible applicants who are well positioned to achieve outcomes identified in the theory of change.

If recommended by CV for competitive funding consideration, the applicant must submit letters of support from all members of the consortium to be included in the competitive grant application submission due in January 2018.

**Safer communities:** Activities that focus on public safety, preventing and mitigating civil unrest, and/or partnerships between police and community. CNCS is looking for program models that create, support, and initiate activities that provide opportunities for law enforcement and community members to become constructively engaged in building or re building public spaces and opportunities for constructive dialogue via sports and community team building such as block watch organizations. Some examples are summer programming or engaging communities that are part of The National Forum on Youth Violence Prevention and programs that are developed by the International Association of Chiefs of Police (IACP) (<http://www.iacp.org/Police-Foundations-Section>) such as programs that engage youth between the ages of 14-21 living in high crime areas of the city who have been identified as “leaders” in good and/or bad way. The youth are paired with School Resources Officers who meet with them several times during the week to engage them in a variety of leadership building exercises i.e., camping, rafting, community clean-up and much more.

**Same Project:** Two projects will be considered the same if they: Address the same issue areas, address the same priorities, address the same objectives, serve the same target communities and population, and utilize the same sites.

Programs must get approval CV to be considered a new project. CV will consider a project to be new if there is a meaningful difference between it and previous projects in a comparison of the following



characteristics, among others: the objectives and priorities of the projects; the nature of the services provided; the program staff, participants, and volunteers involved; the geographic locations in which the services are provided; the populations served; and the proposed community partnerships. (45 CFR § 2522.340)

Requests for approval to be considered a new project should include information about how the new project differs from the previous project in the characteristics noted above. The request should also include the proposed name of the new project. CV staff will review the request to determine if the proposed project does represent a meaningful difference from the previous project or if the proposed project is an example of natural program evolution over time.

**Single-State Applicants:** Organizations that propose to operate in only one state must apply through the Governor-appointed State or Territory Commissions. Each state and territory commission administers its own selection process and submits to CNCS the applicants it selects to compete for funding. CaliforniaVolunteers is the State Commission for California.

A single state application submitted directly to CNCS by the applicant rather than the State Commission will be considered noncompliant and will not be reviewed.

**Unallowable Activities:** In addition to the *Prohibited Activities*, the following restrictions also apply to the service of AmeriCorps members:

Non-duplication.

Corporation assistance may not be used to duplicate an activity that is already available in the locality of a program. And, unless there is non-displacement, Corporation assistance will not be provided to a private nonprofit entity to conduct activities that are the same or substantially equivalent to activities provided by a State or local government agency in which such entity resides.

Non-displacement.

- (1) An employer may not displace an employee or position, including partial displacement such as reduction in hours, wages, or employment benefits, as a result of the use by such employer of a participant in a program receiving Corporation assistance.
- (2) An organization may not displace a volunteer by using a participant in a program receiving Corporation assistance.
- (3) A service opportunity will not be created under this chapter that will infringe in any manner on the promotional opportunity of an employed individual.
- (4) A participant in a program receiving Corporation assistance may not perform any services or duties or engage in activities that would otherwise be performed by an employee as part of the assigned duties of such employee.
- (5) A participant in any program receiving assistance may not perform any services or duties, or engage in activities, that—
  - (i) Will supplant the hiring of employed workers; or
  - (ii) Are services, duties, or activities with respect to which an individual has recall rights pursuant to a collective bargaining agreement or applicable personnel procedures.
- (6) A participant in any program receiving assistance may not perform services or duties that have been performed by or were assigned to any—
  - (i) Presently employed worker;
  - (ii) Employee who recently resigned or was discharged;
  - (iii) Employee who is subject to a reduction in force or who has recall rights pursuant to a collective bargaining agreement or applicable personnel procedures;
  - (iv) Employee who is on leave (terminal, temporary, vacation, emergency, or sick); or
  - (v) Employee who is on strike or who is being locked out.

